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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q88-Q93):

NEW QUESTION # 88

A vote carried out by the board of the Authority resulted in a tie. What happens in these circumstances?

- A. The decision is postponed until another vote can be taken
- B. The vote for the resolution is automatically carried
- C. The vote against the resolution is automatically carried

- D. The chairman or their deputy is granted the casting vote

Answer: D

Explanation:

Under the CISI UAE Financial Rules and Regulations, in the event of a tie vote by the board of the Authority, the chairman or their deputy is granted the casting vote to resolve the deadlock. This mechanism ensures decisions can be made efficiently without indefinite postponement. The casting vote provides a decisive voice to the chair in balancing the board's decisions, reflecting common governance principles in corporate and regulatory bodies. Automatic carriage or rejection of resolutions without further input is not allowed, and postponement is typically avoided to maintain regulatory effectiveness.

Reference: CISI UAE Financial Rules and Regulations - Governance and Board Procedures, Section 2.4.8 (2023).

NEW QUESTION # 89

The role of the authorised agent of the exchange-traded fund (ETF) is to:

- A. update sell and buy orders
- B. announce the net value of the unit's assets on a daily basis
- C. regularly announce the indicative value of the net value of assets
- D. ensure that the transfer of ownership of units is completed

Answer: C

Explanation:

The authorised agent of an ETF has a critical role in maintaining transparency and liquidity in the market.

According to CISI UAE Financial Rules and Regulations, the authorised agent is responsible for regularly announcing the indicative value of the net assets of the ETF units. This indicative net asset value (iNAV) provides investors and market participants with a near real-time estimate of the underlying assets' value, reflecting market fluctuations throughout the trading day. Unlike the official net asset value (NAV), which is typically calculated at the end of the trading day, the iNAV supports intra-day trading decisions and helps maintain price alignment between the ETF units and their underlying assets. This responsibility is fundamental in ensuring efficient price discovery and protecting investor interests in the ETF market.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds and ETF Operations, Section 6.4.2 (2023).

NEW QUESTION # 90

The Depository Centre must periodically report to the Authority on shareholders who hold more than what threshold percentage of equity in the Centre's capital?

- A. 3%
- B. 15%
- C. 5%
- D. 10%

Answer: C

Explanation:

The Depository Centre is required to periodically report to the Authority on shareholders who hold more than 5% of equity in the Centre's capital. This threshold ensures that the Authority is informed about substantial holdings, which could influence corporate governance, voting rights, and overall control within the company.

The report helps maintain transparency regarding ownership structures, which is critical for monitoring potential conflicts of interest, shareholder influence, and market stability. Regular updates on these holdings contribute to the regulatory oversight of significant shareholders.

Reference: CISI UAE Financial Rules and Regulations - Reporting Requirements for Depository Centres, Section 7.1.2 (2023).

NEW QUESTION # 91

During a trading session, if an order is not fully executed, then:

- A. the remaining unexecuted volume is cancelled and a new order is placed, at the last executed price
- B. the transaction is executed at the price set on the other side of the transaction

- C. the order will be dealt with at the next trading session
- D. the remaining unexecuted volume stays on the trading system, at the last executed price

Answer: D

Explanation:

In the Dubai Financial Market (DFM) and other UAE exchanges, if an order is not fully executed during a trading session, the remaining unexecuted volume remains on the trading system at the last executed price, subject to the order's validity instructions (e.g., good-till-cancelled). This approach allows the unfilled portion to remain active in the market for potential matching with future opposing orders, supporting liquidity and order continuity. Orders are not automatically cancelled or deferred to the next session unless specified. This process ensures transparency and orderly execution consistent with regulatory trading rules.

Reference: CISI UAE Financial Rules and Regulations - Trading Order Execution Rules, Section 7.2.8 (2023).

NEW QUESTION # 92

If there is a material change in the nature of the relevant software, the regulations state that investors who have accepted an offer of crypto assets must be notified:

- A. promptly in advance
- B. within no less than 14 days
- C. within no less than 7 days
- D. immediately after implementation

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations require that investors in crypto assets be promptly notified in advance of any material change in the nature of the software relevant to the assets. This advance notification is crucial to allow investors to make informed decisions regarding their holdings before changes take effect.

Material changes could affect functionality, security, or value of the crypto asset. The regulation promotes transparency and investor protection by ensuring timely and clear communication, preventing investors from being blindsided by unexpected developments. The requirement aligns with international best practices on disclosure for crypto asset issuers.

Reference: CISI UAE Financial Rules and Regulations - Legislation and Practice, Crypto Asset Regulation, Section 7.2.1 (2023).

NEW QUESTION # 93

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